

Form PTO-1449 (modified)

Atty. Docket No. NewMrkt-  
P99-4Serial No.  
09/467646

List of Patents and Publications for Applicant's

INFORMATION DISCLOSURE STATEMENT

Applicant: Anthony F. Herbst et al.

Filing Date:  
December 20, 1999Group:  
2768 Technology Center 2100

(Use several sheets if necessary)

U.S. Patent Documents

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Foreign Patent Documents

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Other Art

See Page 2

## U.S. Patent Documents

Exam. Init.	Ref. Des.	Document Number	Date	Name	Class	Sub Class	Filing Date if App.
<i>Dm</i>	A1	5,126,936	Jun. 30, 1992	Goal-Directed Financial Asset Management System	364	408	Sept. 1, 1989
<i>Dm</i>	A2	5,148,365	Sept. 15, 1992	Scenario Optimization	364	402	Aug. 15, 1989
<i>Dm</i>	A3	5,227,967	Jul. 13, 1993	Security Instrument Data System Without Property Inapplicable Nulls	364	408	Mar. 20, 1989
<i>Dm</i>	A4	5,799,287	Aug. 25, 1998	Method and Apparatus for Optimal Portfolio Replication	705	36	May 20, 1997
<i>Dm</i>	A5	5,806,048	Sept. 8, 1998	Open End Mutual Fund Securitization Process	705	36	Oct. 12, 1995
<i>Dm</i>	A6	5,819,238	Oct. 6, 1998	Apparatus and Accompanying Methods for Automatically Modifying a Financial Portfolio Through Dynamic Re-Weighting Based on a Non-Constant Function of Current Capitalization Weights	705	36	Dec. 13, 1996
<i>Dm</i>	A7	6,018,722	Jan. 25, 2000	S.E.C. Registered Individual Account Investment Advisor Expert System.	705	36	Jan. 19, 1997

## Foreign Patent Documents

Exam. Init.	Ref. Des.	Document Number	Date	Country	Class	Sub Class	Translation Yes/No
	B1						

EXAMINER:

*Dm M Keel*

DATE CONSIDERED:

7/9/02

EXAMINER: INITIAL IF REFERENCE CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

INFORMATION DISCLOSURE STATEMENT — PTO-1449 (MODIFIED)

C: 56468(NEWMRKT.P99-4.1449.2)

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Foreign Patent Documents

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See Page 2

## Foreign Patent Documents

Exam. Init.	Ref. Des.	Document Number	Date	Country	Class	Sub Class	Translation Yes/No
	B2						

## Other Art (Including Author, Title, Date Pertinent Pages, Etc.)

Exam. Init.	Ref. Des.	Citation
<i>Dwh</i>	C1	Risk Watch, <a href="http://www.algorithmics.com/products/riskwatch1.html">http://www.algorithmics.com/products/riskwatch1.html</a>

EXAMINER: *David M. Lee*DATE CONSIDERED: *7/9/02*

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INFORMATION DISCLOSURE STATEMENT — PTO-1449 (MODIFIED)